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Please find below and/or attached an Office communication concerning this application or proceeding.

		Application No.	Applicant(s)			
Office Action Summary		09/733,616	GRAINGER, JEFFRY			
		Examiner	Art Unit			
		Janice A. Mooneyham	3629			
The MAILING DATE of this communication appears on the cover sheet with the correspondence address Period for Reply						
A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION. - Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication. - If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication. - Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).						
Status						
1)[X]	Responsive to communication(s) filed on 23 No.	ovember 2005				
•	This action is FINAL . 2b) This action is non-final.					
, —	Since this application is in condition for allowance except for formal matters, prosecution as to the merits is					
٥,١	closed in accordance with the practice under <i>Ex parte Quayle</i> , 1935 C.D. 11, 453 O.G. 213.					
Dienociti	·					
Disposition of Claims						
•	☑ Claim(s) 11-17, 19-23, and 32-64 is/are pending in the application.					
	4a) Of the above claim(s) is/are withdrawn from consideration.					
•—	5) Claim(s) is/are allowed.					
· · · · · · · · · · · · · · · · · · ·	6) Claim(s) 11-17, 19-23, and 32-64 is/are rejected.					
•						
8)[]	Claim(s) are subject to restriction and/or	election requirement.				
Applicati	on Papers					
9)☐ The specification is objected to by the Examiner.						
10)☐ The drawing(s) filed on is/are: a)☐ accepted or b)☐ objected to by the Examiner.						
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).						
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).						
11) The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.						
Priority u	ınder 35 U.S.C. § 119					
 12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f). a) All b) Some * c) None of: 1. Certified copies of the priority documents have been received. 2. Certified copies of the priority documents have been received in Application No 3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)). * See the attached detailed Office action for a list of the certified copies not received. 						
2) Notic 3) Inform	t(s) e of References Cited (PTO-892) e of Draftsperson's Patent Drawing Review (PTO-948) mation Disclosure Statement(s) (PTO-1449 or PTO/SB/08) r No(s)/Mail Date	4) Interview Summary Paper No(s)/Mail Da 5) Notice of Informal P 6) Other:				

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DETAILED ACTION

1. This is in response to the applicant's communication filed on November 23, 2005, wherein:

Claims 11-17, 19-23, and 32-64 are currently pending;

Claims 45, 50, 55, and 60 have been amended.

Claim Objections

2. Claim 60 objected to because of the following informalities: There is a typo.

Applicant has amended the claims to read "meet a set of requirements *to of* the official patent office." Appropriate correction is required.

Claim Rejections - 35 USC § 112

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Note: The argument provided in the remarks/arguments submitted on November 23, 2005 raises issues that have not been raised previously. A review of the specification in view of the arguments reveals contradictory statements and bring to question whether the invention is enabled. Therefore, to clarify the record, the following rejections are made.

3. In response to the applicant's arguments as to claims 56 and 57 rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the enablement requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is

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most nearly connected, to make and/or use the invention. An IDS statement is a form document.

The applicant identifies an electronic document in the specification as:

[0024] The computer-implemented method of generating invention disclosure statements according to the present invention enables users to search through a vast amount of potentially relevant prior art information accessible on a large network of computers, such as the internet, and identify relevant electronic documents for disclosure to a patent office. As used herein, the term electronic document refers at least to web pages or other computer files which are remotely accessible. Electronic documents may include U.S. Patent information, foreign patent information, publication information, or other information falling within a disclosure rule for a patent office, for example. Additionally, information included in such electronic documents is referred to herein as reference information.

Regarding IDSs, the MPEP states as follows:

- (B) All content requirements of 37 CFR 1.98. See MPEP § 609.04(a) for more information.
- (1) Requirements for the IDS listing:
- (a) A separate section for citations of U.S. patents and U.S. patent application publications;
- (b) The application number of the application in which the IDS is being submitted on each page of the listing, if known;
- (c) A column that provides a blank space next to each citation for the examiner 's initials when the examiner considers the cited document; and
- (d) A heading on the listing that clearly indicates that the list is an Information Disclosure Statement;
- (e) Proper identification of all cited references:
- (i) U.S. patents cited by patent number, issue date and inventor(s);
- (ii) U.S. patent application publications cited by publication number, publication date and inventor(s);
- (iii) Pending U.S. applications cited by application number, filing date and inventor(s);
- (iv) Foreign patent documents cited by document number (including kind code), country and publication or issue date; and
- (v) Non-patent literature cited by publisher, author (if any), title, relevant pages, and date and place of publication.
- (2) The requirement of copies for:
- (a) Each cited foreign patent document;
- (b) Each cited non-patent literature publication, or the portion

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therein which caused it to be listed;

- (c) Each cited U.S. pending application that is not stored in IFW;
- (d) All information cited (e.g., an affidavit or Office action), other than the specification, including claims and drawings, of a pending U.S. application; and
- (e) All other cited information or the portion which caused it to be listed.
- (3) For non-English documents that are cited, the following must be provided:
- (a) A concise explanation of the relevance, as it is presently understood by the individual designated in 37 CFR 1.56(c) most knowledgeable about the content of the information, unless a complete translation is provided; and /or
- (b) A written English language translation of a non-English language document, or portion thereof, if it is within the possession, custody or control of, or is readily available to any individual designated in 37 CFR 1.56(c). After the examiner reviews the IDS for compliance with 37 CFR 1.97 and 1.98, the examiner should: (See MPEP § 609.05).

How can you physically store an entire document in an IDS statement? How would you store an entire patent into an IDS statement? Applicant identifies the IDS in Figure 4. How does one store an entire document in the form of Figure 4? Where is this disclosed in the specification and where is there enablement for this disclosure?

The applicant discloses in paragraph [0008] the following:

[0008] In one embodiment, the computer-implemented method of the present invention includes receiving a signal indicating that a user has identified an electronic document that contains reference information to be disclosed to a patent office. The reference information includes IDS information. In response to the signal, the IDS information is associate with an electronic information disclosure statement. According to one embodiment, a plurality of pointers are stored in the electronic information disclosure statement, wherein each pointer corresponds to an electronic document. In another embodiment, the IDS information is stored in the electronic information disclosure statement.

Paragraph [0037] discloses:

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[0037] At step 220, the user signals an IDS generation program indicating that an electronic document has been found that contains reference information to be disclosed to a patent office. For example, the reference information could be in an electronic patent document or electronic version of a printed publication. The IDS generation program provides a prompt to the user for generating a signal to the IDS generation program when the user has identified an electronic document to be disclosed to a patent office. In one embodiment, the prompt is provided by modifying the right-click mouse pop-up window to include an additional field. An additional field in the pop-up menu may display "save as IDS". When the user has identified a relevant electronic document, the user may activate the pop-up window and select "save as IDS." Selecting this menu option will signal the IDS generation program that the user has identified a relevant document that is to be disclosed to a patent office. The signal may cause the current document in the browser to be included in the electronic IDS, for example. In another embodiment, the prompt is an electronic button on the users computer screen. When a user identifies an electronic document to be disclosed to a patent office, the user may simply click the electronic button to signal IDS generation program to include the electronic document in an electronic IDS. Additionally, in another embodiment, the prompt is a computer screen icon. When a user identifies an electronic document to be disclosed to a patent office, the user may simply click the icon to access the IDS generation program. In one embodiment, the user may simply click-and-drag a hypertext link corresponding to an electronic document to either the electronic button or the computer screen icon to cause the electronic document to be included in an electronic IDS.

Applicant argues on page 19 of the Remarks/arguments that the very point of hyperlinking is to provide a reference to a linked document within linking document so that the linked document does not have to be stored in the linking document. Yet in paragraph [0037] applicant states that the hypertext link causes the electronic document to be included in an electronic IDS.

Applicant states in paragraph [0039] that:

[0039] At step 230, IDS generation program associates IDS information with an electronic IDS in response to receiving the users signal at step 230. FIG. 2 illustrates two exemplary methods that may be used to associate the IDS information with an electronic IDS. According to one embodiment, at 240A the IDS generation program extracts the IDS information from the reference

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information in response to receiving the signal. Then at step 240B the IDS generation program stores the IDS information in an electronic IDS. In another embodiment, at 250A the IDS generation program stores a plurality of pointers to the IDS information in an electronic IDS. Then at step 250B. the IDS generation program extracts IDS information from the reference information in the electronic document referenced by the pointer in response to receiving a later received signal. For example, the user may search the internet and each time a relevant reference is identified, a pointer to the reference may be stored into the electronic IDS by pressing an electronic button or menu option. Then, when the user is ready to file the electronic IDS in the patent office, the user signals the IDS program to carry out the filing. In response to the filing signal, the IDS generation program extracts the IDS information from the reference information in each electronic document referenced by a pointer in the electronic IDS. The IDS information is automatically compiled and transmitted to a patent office. Alternatively, if electronic submission is unavailable, the signal may indicate that the user desires to print out the IDS information.

Paragraphs [0041-0043] state:

[0041] FIG. 3B illustrates a patent web page 350 that shows the electronic document containing the reference information corresponding to U.S. Pat. No. 7,000,000 of FIG. 3A. In response to accessing one of the patents identified in the search result, an electronic document containing the patent reference information is downloaded to the user's computer system. The reference information in FIG. 3B includes the patent number 351, the first named inventor 352, the patent issue date 353, the title 360, the abstract 370, the complete list of inventors 354, the name of the assignee 356, the application number 358, the filing date 362, priority data 364, the international classification 366, the United States classification 368, the field of search 372, cited references 380, claims 390, and the description 395. Of course, other databases and/or search engines may provide a subset or superset of the above information corresponding to an issued patent. Additionally, published applications may also be found as a result of searches on official patent web sites 120 or patent web sites 130. Moreover, with the recent changes in U.S. Patent policy, published applications that have not yet issued as patents may contain a subset or superset of the above information and may be available on the USPTO web site in the future. Accordingly, FIGS. 3A and 3B are illustrative only.

[0042] It is important to point out that the above reference information made available as a result of a search on a web site may contain more information than is necessary for an electronic IDS. For the example

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illustrated in FIG. 3B, after identifying and downloading an issued patent that requires disclosure to a patent office, a user may signal IDS generation program to extract only that portion of the reference information necessary for completing an IDS. The program will then store the IDS information in the electronic IDS.

[0043] FIG. 4 illustrates a blank invention disclosure statement form ("IDS form") 400 typically used to meet the duty of disclosure requirement in the USPTO. In accordance with one embodiment of the present invention, an electronic IDS 102 that includes all the information required in this form can be generated by IDS generation program 101. As illustrated by FIG. 4, an IDS form 400 generally includes four sections: a general information section 410, a United States Patent Documents section 420, a Foreign Patent Documents section 430, and a section for publications and articles entitled Other Art 440.

Paragraph [0045] states:

[0045] Additionally, an electronic IDS may include information corresponding to U.S. Patent Documents section 420 of IDS form 400 of FIG. 4. An electronic IDS may include information corresponding to IDS form Document No. 421 (i.e. patent number), Date 422 (i.e. date of issuance), Name 423 (i.e. inventor name), Class 424 (i.e. technology classification), sub-class 425, and filing date 426. Moreover, an electronic IDS may include information corresponding to Foreign Patent Documents section 430 of IDS form 400. An electronic IDS may include information corresponding to IDS form Document No. 431, Date 432, Name 433, Class 434, Sub-class 435, and translation 436. Finally, an electronic IDS may include information corresponding to printed publications and other art section 440 of IDS form 400. An electronic IDS may include information corresponding to Author 441, Title 442, Date 443, and Pertinent Pages 444.

Applicant further identifies the invention as follows:

[0056] For example, if a user selects SAVE U.S. PATENT TO IDS 614, IDS generation program 101 will then prompt the user to identify the different pieces of information to be entered into the electronic IDS 102 that correspond to the required portions of U.S. Patent Document section 220 of IDS form 200. FIG. 6 illustrates that pop up menu 620 is provided to prompt user for each of the required pieces of information. The user then uses the mouse to select the portions of the patent web page 350 that correspond to each piece of required information. For example, the user may first select the patent number with the mouse and then click on the PATENT NO. 621 pop up menu option, and the IDS generation program can enter the selected patent number

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into the electronic IDS 102. Next, the user may select the issue date on the patent web page 350 with the mouse and then click on the ISSUE DATE 622 pop up menu option. The IDS generation program can then enter the selected issue date into the electronic IDS 102. Likewise, the user may sequentially select inventor name, the U.S. classification, sub-class, and filing date on patent web page 350, and the information will be entered into the electronic IDS 102 by correspondingly selecting INVENTOR 623, CLASS 624, SUB-CLASS 625, and FILING DATE 626.

[0057] On the other hand, if a user has located a foreign patent on a foreign patent web page (not shown), the user may select SAVE FOREIGN PATENT TO IDS 615. IDS generation program 101 will then prompt user to identify the different pieces of information to be entered into the electronic IDS 102 that correspond to the required portions of Foreign Patent Document section 230 of IDS form 200 of FIG. 2. FIG. 6 illustrates that pop up menu 630 is provided to prompt user for each of the required pieces of information. The information that must be extracted from a foreign patent is illustrated in FIG. 2 section 230 as the foreign patent number 231, foreign patent issue date 232, country 233, classification 234, sub-class 235, and translation (Y/N) 236. The user then uses the mouse to select the portions of the foreign patent web page (not shown) that correspond to each piece of required information. For example, the user may first select the foreign patent number with the mouse and then click on the PATENT NO. 631 pop up menu option, and the IDS generation program can enter the selected foreign patent number into the electronic IDS 102. Next, the user may select the foreign patent issue date on the foreign patent web page with the mouse and then click on the ISSUE DATE 632 pop up menu option. The IDS generation program can then enter the selected foreign patent issue date into the electronic IDS 102. Likewise, the user may sequentially select the country, the classification, and sub-class on foreign patent web page, and the information will be entered into the electronic IDS 102 by correspondingly selecting COUNTRY 633, CLASS 634, and SUB-CLASS 635. Finally, the user can indicate if a translation is available by selecting TRANSLATION 636 and YES. NO. or ABSTRACT. It should be noted that in some cases the foreign patent document may be a published patent application, in which case the ISSUE DATE 632 may be substituted for PUBLICATION DATE or just DATE.

[0058] If a user has located a relevant publication on a publication web page (not shown), the user selects SAVE PUBLICATION TO IDS 616. IDS generation program 101 will then prompt user to identify the different pieces of information to be entered into the electronic IDS 102 which correspond to the required portions of the section for publications and articles entitled Other Art 240 of IDS form 200 of FIG. 2. FIG. 6 illustrates that pop up menu 640 is provided to prompt user for each of the required

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pieces of information. The information that must be extracted from a publication is illustrated in FIG. 2 section 240 as the Name of Author 241, Title of Publication 242. Name of Publication 243, Pages 244, and Date of Publication (not shown). The user then uses the mouse to select the portions of the publication web page (not shown) that correspond to each piece of required information. For example, the user may first select the name of the author with the mouse and then click on the NAME OF AUTHOR 641 pop up menu option, and the IDS generation program can enter the selected name of the author into the electronic IDS 102. Next, the user may select the title of the article or publication on the publication page with the mouse and then click on the TITLE 642 pop up menu option. The IDS generation program can then enter the selected title into the electronic IDS 102. Likewise, the user may sequentially select the name of the magazine or publication, the relevant pages, and date of the publication, and the information will be entered into the electronic IDS 102 by correspondingly selecting NAME OF PUBLICATION 643, PAGES 644, and DATE OF **PUBLICATION 626.**

[0059] It should be noted that the embodiment of FIG. 6 is just one example of how an IDS generation program may extract the necessary IDS information from a electronic document having relevant reference information into an electronic IDS 102. Of course, other methods for extracting data from a web page could be utilized. In another embodiment, a user may click-and-drag one of the search results 300 of FIG. 3 into an electronic IDS. For that embodiment, an IDS generation program may include code for accessing an electronic document corresponding to each hypertext link associated with each patent result. For example, in response to clicking-and-dragging a particular search result hypertext link in search results page 300, the IDS generation program may automatically access the patent web page 350 for the selected patent. The IDS generation program may then automatically parse the reference information and download only the IDS information from the patent web page 350. The IDS information could then be automatically stored in an electronic IDS.

[0060] In another embodiment, when a user identifies a web site with a relevant document, the user may simply mouse click on an electronic button or menu option generated by the IDS generation program. In response to such a single mouse click, the IDS generation program may include code for *automatically parsing the active web page and extracting the information necessary for completing the electronic IDS*.

[0061] In yet another embodiment, the patent web pages 350 are divided into predetermined fields. Each field holds a particular predefined piece of information such as the title, patent number, or inventor name, for example.

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In such an embodiment, an IDS generation program automatically recognizes the fields and extracts the necessary IDS information by accessing each of the fields where the IDS information is located.

[0062] FIG. 7 illustrates accessing a first web site 710 and identifying an electronic document containing 720 patent or printed publication reference information that a user desires to disclose to a patent office. According to one embodiment, FIG. 7 illustrates that with just one click of the mouse the information necessary for completing the electronic IDS 102 is automatically extracted from the patent or printed publication reference information and entered into the electronic IDS 102. FIG. 7 also illustrates how multiple web sites can be accessed with the browser and how reference information from multiple electronic documents can be incorporated into the electronic IDS 102 with just a single mouse click for each electronic IDS entry. Therefore, embodiments of the present invention provide for a simplified method of generating invention disclosure statements. Accordingly, individuals under a duty of disclosure are more likely to comply with the disclosure requirements. This is in part because of the time is saved by utilizing embodiments of the present invention. A user is no longer required to obtain printed copies of every patent that must be filed in order to get the information necessary to fill out an IDS form 400. Moreover, the time and resource consumption associated with manually filling out an IDS form 400 is eliminated. Additionally, the potential liability for accidentally failing to include a reference while preparing an IDS form 400 is also eliminated.

[0068] IP service provider web site 1040 includes a database 1041, an IDS generation program 1042, and a search engine 1043. IP service provider may be a web site that allows customers to manage and manipulate intellectual property information remotely. For example, in one embodiment, customers of an IP service provider may be allowed to remotely access search engine 1043. A user may access search engine 1043 for the purpose of conducting research into a particular field of technology. Using search engine 1043, a user may access electronic versions of technical documents stored in database 1041. Alternatively, a user might access electronic versions of technical documents located at web sites 1050 or 1060 in databases 1051 or 1061 respectively. In one embodiment, IDS generation program 1042 is running in the background, and when the user discovers an electronic document that is relevant to a future or pending patent application, the user may signal the IDS generation program to enter the document in an electronic IDS.

[0069] In another embodiment, IDS generation program 1042 on IP service provider web site 1040 may provide a user with information on when it is

necessary to file an IDS. For example, if a user is conducting research using search engine 1043 and discovers a document that may be relevant, the user can signal IDS generation program to provide instructions on when it is necessary to file an IDS. IDS generation program 1042 may provide a help window with text illustrating the rules for filing an IDS. Alternatively, IDS generation program 1042 may provide the user with a series of questions designed to guide the user through the process of determining if the particular document must be disclosed to a patent office. *Ultimately, the IDS generation program may provide the user with a menu selection or electronic button allows the user to signal the IDS program to extract IDS information from the document and store the IDS information in an electronic IDS.*

From these excerpts, it is not clear how one can store an entire electronic document in the electronic information disclosure statement.

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

4. Claims 55 and 57 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention. It is unclear how transmission of the statement to the office is accomplished by inserting into the document a set of information form the linked document. It is unclear how transmission of the statement to the patent office comprises filtering information such that the statement comprises the information?

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Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

- (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.
- 5. Claims 16-17, 19, 33, 37-40, 45-51, 60-61, and 63-64 are rejected under 35 U.S.C. 103(a) as being unpatentable over Petruzzi et al (US 6,049,811) in view of Tran (US 2001/0049707).

Regarding Claims 45, 63 and 64:

Petruzzi disclose a method, system and software program for generating an information disclosure statement comprising:

a processor (Figure 1 - col. 4, lines 26-67 processor operates to control the program within the computer 10) and a computer readable memory (ROM/RAM col. 4, lines 40-51) with a computer software program embodied on the memory in communication with the processor for providing instructions executable by the computer (col. 4, lines 26-67)to:

providing a computer interface for a user to review at least one electronic document that is relevant to a patent application (Figure 1 (12) display; col. 5, line 48 thru col. 6, line 7);

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allowing a user to identify via the computer interface the at least one relevant electronic document for disclosure to a patent office (col. 5, line 48 thru col. 6, line 7 through the use of a wizard, the operator is prompted for references);

incorporating at least some information from the electronic document into an electronic information disclosure statement *in a form suitable for filing with an official patent office* via the computer (Figure 2 (Forms 39) col. 2, lines 65-67 col. 5, line 48 thru col. 6, line 7 The Form 1449 for submitting information in the form of patents, publications, etc is provided, operator is prompted for references, a brief description of each reference and the relevance. After information is inputted, the computer automatically generates a first draft).

Petruzzi does not disclose providing for the transmission of the statement to an official patent office.

However, Tran discloses providing for the transmission of the statement to an official patent office (Figure 2C File application, [0007] generation and filing of a complete patent application [0017] techniques support electronic patent filing).

It would have been obvious to one of ordinary skill in the art at the time of the invention to incorporate into the patent drafting disclosure of Petruzzi the transmission taught in Tran so as to provide support for electronic patent filing that substitutes an electronic form of an IDS for a paper copy and to facilitate and enhance the procurement and trading of IP assets.

NOTE: The claim language is *allowing* a user to identify the at least one relevant electronic document for disclosure to a patent office. Using terms like "allowing" or

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"permitting" an action, e.g. "allowing a user to search a database", the steps are distinct from actually doing the action, e.g. searching.

Moreover, providing for transmission of the electronic statement does not actually mean that the statement is transmitted. All this requires is providing for some form of transmission, such as mailing.

Applicant has also failed to identify what applicant means by the term "relevant" document. The Examiner has interpreted this as relevant prior art.

Regarding Claim 46:

Tran discloses the transmission of the statement comprises printing and mailing ([0046] Express Mail Declaration, correct Mailing Label Number].

Moreover, the Examiner takes Official Notice that transmission of patent documents via mail to the office is old and well known as is evidenced by the fact that it was an established business principle to use a certificate of mailing when mailing applications to the office.

It would have been obvious to one of ordinary skill in the art at the time of the invention to print and mail the application since it was know in the art that mailing was a reliable way of transmitting the application, including the IDS, and for many years was the only way to transmit the application, including the IDS, without having to hand deliver the papers.

Regarding Claim 47:

Tran discloses wherein the transmission comprises transmitting the statement electronically to the office ([0017] [0048] [0049]).

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Regarding Claim 48:

Neither Petruzzi nor Tran disclose that the selection of the relevant document comprises browsing the Internet.

However, the Examiner takes Official Notice that the selection of the relevant document comprising browsing the Internet and finding the document is old and well known as is evidence by the fact that examiners in the patent office often search the Internet Archive Wayback Machine to find prior art.

Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention to include searching the Internet to find prior art documents since many of the applications involve processes performed over the Internet and thus a thorough search would involve searching the Internet.

NOTE: The claim language is directed to the method of claim 45, and wherein allowing a user to select at least one relevant electronic document for disclosure to a patent office comprises allowing the user to browse the Internet to find one relevant electronic document. Using terms like "allowing" or "permitting" an action, e.g. "allowing a user to search a database", the steps are distinct from actually doing the action, e.g. searching.

Regarding Claim 49:

Claim 49 is directed to allowing as user to select at least one relevant document for disclosure to a patent office comprising allowing the user to search a database of electronic documents to find at least one relevant electronic document.

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The Examiner take Official Notice that selecting the relevant document from a database of documents to find at least one relevant document is old and well known as is evidenced by the numerous databases affiliated with the various patent offices and other commercial search databases. Applicants can access the databases on the website of the PTO and make a search of prior art from the PTO website database.

Thus it would have been obvious to one of ordinary skill in the art at the time of the invention to search a database of documents to find relevant documents since much of the prior art is stored in patent office databases and other commercial databases and a thorough search for relevant prior art could only be performed by searching such databases.

NOTE: The claim language is directed to the method of claim 45, and wherein allowing a user to select at least one relevant electronic document for disclosure to a patent office comprising allowing the user to search a database of electronic documents to find at least one relevant electronic document. Using terms like "allowing" or "permitting" an action, e.g. "allowing a user to search a database", the steps are distinct from actually doing the action, e.g. searching.

Regarding Claim 50:

Petruzzi discloses wherein the incorporating at least some information from the document into the electronic information disclosure statement comprises:

extracting via the computer a relevant portion of a set of reference information from the document (col. 5, line 48 thru col. 6, line 7 - computer 10 automatically

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generates a first draft information disclosure state by adding appropriate phrases and formatting); and

inserting via the computer the relevant portion of the set of references into the electronic document (col. 5, line 48 thru col. 6, line 7).

Regarding Claim 51:

Petruzzi discloses wherein extracting a relevant portion comprises allowing the user to select a relevant portion (col. 5, line 48 thru col. 6, line 7; and

providing the user with an option to insert the selected portion into the statement (col. 5, line 48 thru col. 6, line 7 – operator is prompted for references, a brief description or each reference, and the relevance of each reference).

Regarding Claims 19, 39, 40 and 59:

See the discussion under Claim 47 – Tran discloses wherein the document can be transmitted directly using an on-line communication ([0017] [0048] [0049]).

Claims 19, 39, 40 and 59 are directed to the computer determining that a patent application corresponding to the electronic information disclosure statement is being electronically filed in an official patent office and electronically transmitting the electronic information disclosure statement to the official patent office contemporaneously with the patent application.

Regarding Claim 60:

The Examiner takes Official Notice that an Information Disclosure Statement is a related but separate document to a patent application and wherein the electronic information disclosure statement is configured to meet a set of requirements of the

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patent office. (Also, see Petruzzi (col. 5, line 48 thru col. 6, line 7 discloses Form 1449 (IDS) and col. 16, lines 34-39 – Petruzzi discloses wherein the invention can be modified to incorporate the patent laws and rules of any foreign country).

Regarding Claim 61:

Petruzzi discloses receiving a set of general information from the user to be incorporated into the statement (col. 5, line 48 thru col. 6, line 7 operator is prompted for references, a brief description of each reference and the relevance).

Regarding Claims 16, 33 and 37:

Tran discloses prompting the user for an access code when the user requests access to the statement ([0019] users are logged in) and access to the statement is provided to multiple users over a network [Figure 1 [0043] one or more client workstations are connected).

Regarding Claims 17 and 38:

Tran discloses providing the user with instructions as to when a document is to be disclosed ([0041] user is prompted to list any publication or planned disclosure of the invention).

6. Claim 52 is rejected under 35 U.S.C. 103(a) as being unpatentable over Petruzzi and Tran as applied to claim 50 above, and further in view of Nagashima et al (US 5,778,398) (hereinafter referred to as Nagashima).

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Regarding Claim 52:

Petruzzi and Tran discloses the method of claim 50. Petruzzi and Tran do not disclose dragging and dropping a relevant portion of information from the at least one document into the statement.

However, Nagashima discloses allowing the user to drag a relevant portion of the information from the electronic document into the statement (col. 7, lines 31-39 and col. 8, lines 2-12).

It would have been obvious to one of ordinary skill in the art at the time of the invention to combine the dragging of Nagashima with the disclosures of Petruzzi and Tran so as to provide a document processing which permits a plurality of document elements to share contents in respective document structures while maintaining the consistency to the change of content and for designating a document element having a content to be shared with second document.

7. Claims 53 and 56-57 are rejected under 35 U.S.C. 103(a) as being unpatentable over Petruzzi and Tran as applied to claim 50 above, and further in view of Jammes et al (US 6,484,149) (hereinafter referred to as Jammes).

Regarding Claim 53:

Petruzzi and Tran disclose the method of claim 50.

Petruzzi and Tran do not disclose parsing the document for a relevant portion of reference information.

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However, Jammes discloses a method wherein the extracting comprises parsing ((col. 5, line 43 thru col. 7, line 65; col. 7, lines 15-53 when **the web document (or HTML document)** is subsequently transmitted by a Web server to a Web browser, the codes are interpreted by the browser and used to **parse** and display the document, col. 17, line 62 thru col. 18, line 5 the Parse HTTP routine launches).

It would have been obvious to one of ordinary skill in the art at the time of the invention to combine parsing as taught by Jammes with the IDS form of Petruzzi so as to provide a graphical user interface which displays information and links information content within documents.

Regarding Claim 56:

Jammes discloses wherein incorporating comprises storing the document in the statement (col. 5, line 65 thru col. 6, line 4 – a hyperlink from one document to another, or from one portion (or component) or a document to another; col. 14, lines 30-65 Drop and Drag).

Note: It is physically impossible to store the at least one electronic document in an information disclosure statement. Moreover, the claim language reads wherein incorporating at least some information from the at least one electronic document into the electronic information statement comprises storing the at least one document in the electronic information disclosure statement. How can you put an entire document in the lines of Form 1449. You can provide the relevant information but not the whole document.

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Regarding Claim 57:

Jammes discloses a method wherein the transmission comprises filtering (extracting) a set of relevant information (col. 17, line 62 thru col. 18, line 5 extracts the query form the message and passes extracted query to query application).

Furthermore, the Examiner takes Official Notice that it is old and well known that filtering is performed when performing a search for relevant documents, with the search engine filtering or extracting out the relevant documents. Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention to incorporate filtering into any application where one is searching for the relevant prior art relevant to an invention which is being filed in the patent office so as to provide only that which applies to the application and since the use and advantage of the step of filtering are well known, ie, prevent the reporting of information that is not relevant. (Also, see Tran [0088] the portal has access to IP search engines that continuously search the web and identify information that is of interest to its users using the profiles to search (filters out contents that is not of interest to the subscribers).

8. Claims 54-55 are rejected under 35 U.S.C. 103(a) as being unpatentable over Petruzzi and Tran as applied to claim 45 above, and further in view of Porcari (US 2001/0037460) (hereinafter referred to as Porcari).

Regarding Claim 54:

Petruzzi and Tran disclose the method of claim 45.

Petruzzi and Tran do not disclose hyperlinks.

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Porcari discloses wherein the incorporating comprises inserting into the statement a link to the document ([0056-58] – hyperlinks to identified documents).

It would have been obvious to one of ordinary skill in the art at the time of the invention to combine the hyperlinks as taught by Porcari with the disclosure of Petruzzi and Tran so as to provide access to public and patent documents without having to provide paper copies.

Regarding Claim 55:

Porcari discloses wherein providing transmission of the statement comprises inserting into the electronic information disclosure statement a set of information from the linked document ([0056-0058] access would be through a web interface or URL link).

Regarding Claim 58:

Porcari discloses the interface is a web browser (Web-Based Document System).

9. Claims 11-14, 32, 34-36, and 62 are rejected under 35 U.S.C. 103(a) as being unpatentable over Petruzzi and Tran as applied to claims 45 and 63 above, and further in view of Lee (US 6,662,178) (hereinafter referred to as Lee).

Regarding Claims 11-14, 32, 34-36 and 62:

Petruzzi discloses saving the statement in a database {col. 5, line 48 thru col. 6, line 7 and col. 16, lines 64-65 memory for receiving and storing data).

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Petruzzi nor Tran disclose wherein the database is a local database in communication with a local computer network, wherein the database is a remote database in communication with the communication with the Internet.

However, Lee discloses a method and system electronic searching and organizing intellectual property wherein the database is a local database in communication with a local computer network (LAN), wherein the database is a remote database in communication with the communication with the Internet (col. 2, lines 58 thru col. 3, line 12, col. 3, line 24-35; (local and remote memory devices); col. 3, line 36 thru col. 4, line 29).

It would have been obvious to one of ordinary skill in the art at the time of the invention to combine the databases as taught in Lee so as to allow for the creation and processing of search results which are run on local and remote database systems.

Regarding Claim 62:

Lee discloses downloading a document from the Internet (col. 3, lines 24-60 network – includes Internet, col. 4, lines 49-57- server makes the search results and any underlying documents available for viewing or other output by user).

Regarding Claims 11 and 36:

Lee discloses wherein the document is downloaded from a database coupled to a computer network (col. 3, lines 24-60 and col. 4, lines 30-57)

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10. Claims 20 and 41 are rejected under 35 U.S.C. 103(a) as being unpatentable over Petruzzi and Tran as applied to claim 45 and 63 above, and further in view of Takano et al (US 6,434,580) (hereinafter referred to as Takano).

Regarding Claims 20 and 41:

Petruzzi and Tran disclose the method and system of claims 45 and 63.

Petruzzi and Tran do not discloses generating a letter when the application information is filed with the patent office.

However, Takano discloses generating a letter via the computer when the application is filed in patent office (Figure 15, col. 37 thru col. 16, line 14, col. 16, lines 34-45 and Figure 18).

It would have been obvious to one of ordinary skill in the art at the time of the invention to combine the transmittal of a letter as taught by Takano with IDS form of Petruzzi and Tran so as to provide notification and proof that the document was received by the patent office.

11. Claims 21-23 and 42-44 are rejected under 35 U.S.C. 103(a) as being unpatentable over Petruzzi and Tran as applied to claims 45 and 63 above, and further in view of Hunter et al (US 6,298, 327) (hereinafter referred to as Hunter).

Regarding Claims 21-23 and 42-44:

Petruzzi and Tran disclose the method and system of claims 45 and 63.

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Neither Pertruzzi nor Tran disclose a method or system wherein the electronic document is an electronic version of a US Patent, an electronic version of a foreign patent, or an electronic publication.

However, Hunter discloses a method and system wherein the electronic document is an electronic version of a US Patent, an electronic version of a foreign patent, or an electronic publication (col. 5 Table 2 Disclosure section prior art US patents, foreign patents, and publications).

It would have been obvious to one of ordinary skill in the art at the time of the invention to include the documents as taught in Hunter with the disclosure of Petruzzi and Tran since patentability includes a disclosure of all relevant documents, and patent laws require disclosure of a description of an invention and the state and limitations of the prior art.

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Response to Arguments

12. Applicant's arguments filed November 23, 2006 have been fully considered but they are not persuasive.

- 13. The Examiner has withdrawn rejections as to claims 17, 19, 38-40, 45-46, and 60 under 35 USC 112, second paragraph. The Examiner maintained rejections as to claims 55 and 57 and provided an explanation with the rejection.
- 14. Rejections under 35 USC Section 103:

Applicant argues that Petruzzi does not teach or suggest any additional functionality of its IDS generation tool with the exception what is disclosed on col. 5, line 67. However, it is not clear to the Examiner what claim limitations the applicant is referring to since the comment is a broad, general comment not attached to any claim limitations.

Applicant states that Tran is directed to *Systems and Methods for Generating Intellectual Property* and more specifically to systems and processes fro drafting and electing filing patent applications and that Tran mentions that such systems can be used to generate an IDS. However, applicant states that Tran includes no further disclosure of any facility to generate an electronic IDS.

It is not clear to the Examiner what limitations the applicant alleges that Petruzzi and Tran are lacking. Applicant's arguments do not comply with 37 CFR 1.111(c) because they do not clearly point out the patentable novelty which he or she thinks the

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claims present in view of the state of the art disclosed by the references cited or the objections made.

As for applicant's arguments on page 17 that neither Petruzzi nor Tran teach or suggest allowing a user to identify the at least one electronic document that is relevant to a patent application and allowing a user to identify the at least one relevant electronic document for disclosure to a patent office, the Examiner respectfully disagrees.

Petruzzi disclose a method, system and software program for generating an information disclosure statement comprising:

a processor (Figure 1 - col. 4, lines 26-67 processor operates to control the program within the computer 10) and a computer readable memory (ROM/RAM col. 4, lines 40-51) with a computer software program embodied on the memory in communication with the processor for providing instructions executable by the computer (col. 4, lines 26-67)to:

providing a computer interface for a user to review at least one electronic document that is relevant to a patent application (Figure 1 (12) display; col. 5, line 48 thru col. 6, line 7);

allowing a user to identify via the computer interface the at least one relevant electronic document for disclosure to a patent office (col. 5, line 48 thru col. 6, line 7 through the use of a wizard, the operator is prompted for references).

Applicant states that nothing in Petruzzi's system allow a user to identify a document for disclosure rather than typing in information about the reference.

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It is the Examiner's assertion that typing in information about the reference is, in fact, identifying the reference.

The applicant argues that Tran is silent altogether on how an IDS might be generated and therefore cannot be considered to either teach or suggest these features. The Examiner disagrees with the applicant's argument. Tran supports electronic patent filing that substitutes electronic forms of a patent application (*or any other document related to the prosecution of the patent application*) for a paper copy. Moreover, Tran was cited because Tran discloses providing for the transmission of the statement to an official patent office (Figure 2C File application, [0007] generation and filing of a complete patent application [0017] techniques support electronic patent filing).

The applicant argues that Petruzzi neither suggests nor teaches incorporating at least some information from an electronic document into an electronic information disclosure statement. The Examiner respectfully disagrees with this assertion.

Petruzzi discloses incorporating at least some information from the electronic document into an electronic information disclosure statement in a form suitable for filing with an official patent office via the computer (Figure 2 (Forms 39) col. 2, lines 65-67 col. 5, line 48 thru col. 6, line 7 The Form 1449 for submitting information in the form of patents, publications, etc is provided, operator is prompted for references, a brief description of each reference and the relevance. After information is inputted, the computer automatically generates a first draft).

The applicant argues that Petruzzi neither teaches nor suggests that information from an electronic document might be incorporated into an electronic IDS. The

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applicant is reminded that claims must be given their broadest reasonable interpretation consistent with the supporting description. However, a claim must be interpreted in light of the specification without reading limitations into the claim (MPEP 2111).

Given the broadest reasonable interpretation, Petruzzi discloses incorporating at least some information from the electronic document into an electronic information disclosure statement in a form suitable for filing with an official patent office via the computer (Figure 2 (Forms 39) col. 2, lines 65-67 col. 5, line 48 thru col. 6, line 7). The Form 1449 for submitting information in the form of patents, publications, etc is provided, operator is prompted for references, a brief description of each reference and the relevance. After information is inputted, the computer automatically generates a first draft.

MPEP 904.01 states as follows:

Analysis of Claims

The breadth of the claims in the application should always be carefully noted; that is, *the examiner should be fully aware of what the claims do not call for*, as well as what they do require. During patent examination, the claims are given the broadest reasonable interpretation consistent with the specification. See In re Morris, 127 F.3d 1048, 44 USPQ2d 1023 (Fed. Cir. 1997). See MPEP § 2111 - § 2116.01 for case law pertinent to claim analysis.

It appears that the applicant is arguing that the claims should be given a much more narrow interpretation than the claim language actually requires. Given the broadest reasonable interpretation, Petruzzi fulfills the language of allowing a user to identify the at least one relevant electronic document for disclosure to a patent office and incorporating at least some information from the document, be it an electronic document or not, into an electronic information disclosure statement in column 5, line

48 through column 6, line 7 wherein the operator is prompted for references and the operator inputs information regarding the reference into the form. Applicant's claim language, read broadly, allows one to simply identify a document and then type in a patent number or any other identifying information into the IDS form on the computer as disclosed by Petruzzi. Typing a patent number into the form would be incorporating at least some information form the electronic document into an electronic information statement.

Applicant states that it should be noted that Tran was filed February 4, 2001 and claims priority to provisional US App. No. 60/185,644, which was filed on February 29, 2000. Applicant then notes that the present application was filed December 7, 2000, so Tran is not prior art with respect to the present application except for material disclosed in the Tran Provisional. The Examiner agrees with this assertion. The applicant has not identified any particular limitation that applicant is challenging?

As for applicant's traversal of the Examiner's official notice in claim 48 of the limitation of the selection of the relevant document comprising browsing the Internet and finding the document, the Examiner asserts the following:

A "traverse" is a denial of an opposing party's allegations of fact.¹ The Examiner respectfully submits that applicants' arguments and comments do not appear to traverse what Examiner regards as knowledge that would have been generally available to one of ordinary skill in the art at the time the invention was made. Even if one were to interpret applicants' arguments and comments as

¹ Definition of Traverse, Black's Law Dictionary, "In common law pleading, a traverse signifies a denial."

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constituting a traverse, applicants' arguments and comments do not appear to constitute an <u>adequate traverse</u> because applicant has not specifically pointed out the supposed errors in the examiner's action, which would include stating why the noticed fact is not considered to be common knowledge or well-known in the art. 27 CFR 1.104(d)(2), MPEP 707.07(a). An <u>adequate</u> traverse must contain adequate information or argument to create on its face a reasonable doubt regarding the circumstances justifying Examiner's notice of what is well known to one of ordinary skill in the art. In re Boon, 439 F.2d 724, 728, 169 USPQ 231, 234 (CCPA1971).

If applicant does not seasonably traverse the well known statement during examination, then the object of the well known statement is taken to be admitted prior art. In re Chevenard, 139 F.2d 71, 60 USPQ 239 (CCPA 1943). MPEP 2144.03 Reliance on Common Knowledge in the Art or "Well Known" Prior Art.

As for Internet searching the Examiner provides the following:

MPEP 904.02 [R-3] General Search Guidelines

In the examination of an application for patent, an examiner must conduct a thorough search of the prior art. Planning a thorough search of the prior art requires three distinct steps by the examiner: (A) identifying the field of search; (B) selecting the proper tool(s) to perform the search; and (C) determining the appropriate search strategy for each search tool selected. Each step is critical for a complete and thorough search. When determining the field of search, three reference sources must be considered - domestic patents (including patent application publications), foreign patent documents, and *nonpatent literature (NPL)*.

904.02(c) [R-3] Internet Searching

The Office published a Patent Internet Usage Policy to establish a policy for use of the Internet by the Patent Examining Corps and other organizations within the USPTO. See Internet Usage Policy, 64 F.R. 33056 (June 21, 1999). The Articles

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of the Patent Internet Usage Policy pertinent to Internet searching and documenting search strategies are reproduced below. >Note that a reissue application, a reexamination proceeding, and an application that has been published pursuant to 35 U.S.C. 122(b) need not be kept in confidence; therefore, the restriction on the search queries used when performing an Internet search referenced in Article 9 below would not apply to these applications and proceedings. USPTO personnel may use the Internet to search, browse, or retrieve information relating to the claimed invention(s) of a published application, a reissue application, or a reexamination proceeding.

See MPEP § 707.05(e) for information pertaining to the citation of electronic documents and MPEP § 502.03 for information pertaining to communications via electronic mail.

In response to applicant's argument that Jammes is nonanalogous art, it has been held that a prior art reference must either be in the field of applicant's endeavor or, if not, then be reasonably pertinent to the particular problem with which the applicant was concerned, in order to be relied upon as a basis for rejection of the claimed invention. See *In re Oetiker*, 977 F.2d 1443, 24 USPQ2d 1443 (Fed. Cir. 1992). In this case, Jammes is reasonably pertinent to the particular problem with which the applicant is concerned which is parsing information from an electronic document.

As for applicant's argument that Jammes does not disclose parsing the at least one electronic document for a relevant portion of a set of reference information, the Examiner respectfully disagrees. Jammes discloses a method wherein the extracting comprises parsing (col. 5, line 43 thru col. 7, line 65; col. 7, lines 15-53 when **the web document (or HTML document)** is subsequently transmitted by a Web server to a Web browser, the codes are interpreted by the browser and used to **parse** and display the document, col. 17, line 62 thru col. 18, line 5 the Parse HTTP routine launches).

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The applicant argues that Jammes does not discloses wherein incorporating at least some information from the at least one electronic document into the electronic information disclosure state comprises storing the at least one electronic document in the electronic information disclosure statement. Applicant argues that hyperlinking is not storing one document in another. The Examiner is not clear on what the applicant is claiming here in light of the specification. The applicant is directed to the discussion under 35 USC 112, first paragraph above.

Furthermore, the Examiner directs the applicant to a section of Jammes wherein Jammes discloses dropping and dragging in column 14, lines 30-65. Examiner cites particular columns and line numbers in the references as applied to the claims for the convenience of the applicant. Although the specified citations are representative of the teachings in the art and are applied to the specific limitations within the individual claim, other passages and figures may apply as well. It is respectfully requested that, in preparing responses, the applicant fully consider the references in entirety as potentially teaching all or part of the claimed invention, as well as the context of the passage as taught by the prior art or disclosed by the examiner.

Applicant argues that Jammes fails to teach or suggest the elements of claim 57 which recites filtering a set of relevant information form the at least one document stored in the electronic information disclosure statement such that the electronic information disclosure statement comprises the set of relevant information.

The Examiner disagrees with this assertion and directs the applicant to col. 17, line 62 thru col. 18, line 5 extracts the query form the message and passes extracted

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query to query application. Furthermore, the Examiner took Official Notice that it is old and well known that filtering is performed when performing a search for relevant documents, with the search engine filtering or extracting out the relevant documents and that this is old and well known.

The applicant argues that the incorporating information for the at least one electronic document comprises extracting a relevant portion and inserting the relevant portion into the information disclosure statement. However, applicant admits that Petruzzi does teach that the computer automatically generates a first draft information disclosure statement by adding appropriate phrases and formatting. Furthermore, the Examiner asserts that Petruzzi discloses extracting via the computer a relevant portion of a set of reference information from the document (col. 5, line 48 thru col. 6, line 7 - computer 10 automatically generates a first draft information disclosure state by adding appropriate phrases and formatting) and inserting via the computer the relevant portion of the set of references into the electronic document (col. 5, line 48 thru col. 6, line 7).

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Conclusion

THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

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Any inquiry concerning this communication or earlier communications from the examiner should be directed to Janice A. Mooneyham whose telephone number is (571) 272-6805. The examiner can normally be reached on Monday through Thursday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Weiss can be reached on (571) 272-6812. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Ján Mooneyham Patent Examiner Art Unit 3629